

AQTF Essential Conditions and Standards for Continuing Registration & VRQA Guidelines for VET Providers - Audit Report

Audit Date: 25 & 26 June 2018

RTO: South West Training Services Pty Ltd

Applicant Details			
Applicant Name	South West Training Services Pty Ltd	TOID	21403
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Audit Team			
Audit Firm	Quorum QA Australia Pty Ltd	Auditor/s	Andre Bateman
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Registering Body Details			
Contact Person	Julie Florence		
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Audit Details			
Type of Audit	Re-registration Audit		
Conditions Audited	3, 6, 7, 8, 9		
Standards Audited	1.1, 1.2, 1.3, 1.4, 1.5	2.1, 2.2, 2.3, 2.4, 2.5, 2.6, 2.7	3.1, 3.2, 3.3, 3.4
2016 VRQA Guidelines Audited	1.3	2.1, 2.2, 2.3, 2.4, 2.5, 2.6, 2.7, 2.8 (If applicable)	
	3.1, 3.2, 3.3, 3.4, 3.5	4.1, 4.2, 4.3 to 4.6 (If applicable)	
Audit Date/s	25-26 June 2018		
RTO Background			
<p>South West Training Services (SWTS) was established in 2003 and is owned by Equip Group (South West Holdings) which has five areas of operation:</p> <ul style="list-style-type: none"> • Equip Church • South West Training Services, including the Bible College • South West Child Care which includes long day care and after school care • South West Community Services (food bank, financial education, school support packages) • Missions. <p>SWTS is a non-profit organisation which aims to help people who may be disadvantaged, including refugees, access training which will lead to employment. The RTO offers a limited range of courses including:</p> <ul style="list-style-type: none"> • CHC50113 Diploma in Early Childhood Education and Care (Skills First cap of 38) • CHC30113 Certificate III in Early Childhood Education & Care (Skills First cap of 10) • BSB40215 Certificate IV in Business • BSB40515 Certificate IV in Business Administration • 10433NAT Certificate IV in Christian Ministry and Theology (currently 23 students, all full fee paying face-to-face) • First Aid short courses, including HLTAID003 Provide first aid. <p>Theology was added in October 2017 so no students have yet completed this qualification.</p>			

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The RTO has only 6-7 business students and has realised that the area of child care is its strength, with strong industry relationships, a stable group of trainers, student demand and good employment outcomes for graduates.

The RTO currently has approximately 220 enrolments, most of whom have been able to access Skills First funding. The cohort of students tends to be women with children, often from non-English speaking backgrounds, who may have low confidence and need support to enter or re-enter the workforce.

There are currently 12 staff on full-time or part time contracts and 5 casual staff. The staff includes a director, a compliance officer, a training manager, a financial officer and an office administrator.

Courses are offered in classroom face-to-face mode, online, and also in a combination of these two modes. Classroom training is delivered at the training centre in Hoppers Crossing and also as requested at specific worksites. In 2017, 6 students were enrolled as online students in CHC50113 in Geelong in response to demand. The VRQA advised it was not necessary to register this as an additional site.

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Qualifications/Units Audited ¹		
QUALIFICATION/UNIT OF COMPETENCE/ACCREDITED COURSE		
TGA Code	Qualification/Unit of Competence/Accredited Course (as per TGA)	Delivery Site
CHC50113	Diploma in Early Childhood Education and Care	Hoppers Crossing
10433NAT	Certificate IV in Christian Ministry and Theology	Hoppers Crossing
HLTAID003	Provide first aid	Hoppers Crossing

Interviewee(s) – Staff name and position; employer name and position	
Smitha Gustav	Director
Dinusha Galapitiya	Compliance Manager
Lisa Towers	Training Manager
Andrew Drummond	Theology Trainer

Permanent Delivery Sites –	Yes	No
Do the RTO's permanent delivery sites match the information provided by the VRQA?	X	
If 'No', please provided amended details below:		

Third party Arrangements –	Yes	No
Do the RTO's third party arrangements match the information provided by the VRQA?	X	
If 'No', please provided amended details below:		

¹ Samples have been selected in accordance with the VRQA VET Audit Sampling Methodology

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Audit Summary - AQTF Conditions of Registration

AQTF Conditions Place an X in the appropriate column		Compliant	Non - Compliant	Not audited
1	Governance			X
2	Interactions with the Registering Body			X
3	Compliance with Legislation		X	
4	Insurance			X
5	Financial Management			X
6	Certification & Issuing of Qualifications & Statements of Attainment	X		
7	Recognition of Qualifications Issued by other RTOs	X		
8	Accuracy and Integrity of Marketing	X		
9	Transition to Training Packages/Expiry of Accredited Courses	X		
Summary of Non-Compliance²				
CF.3.1 The information provided to staff and students lists relevant legislation but does not explain in plain English how this affects their obligations and activities in the VET context.				
Strengths				
Most student information was very clear and in plain English.				

² CF = Condition Finding. Finding references are aligned to the Detailed Findings section of this report.

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Audit Summary - AQTF Standards

AQTF Standards/Elements	Compliant	Non - Compliant	Not audited
Standard 1			
1.1 – Continuous Improvement Strategy	X		
1.2 – Training and Assessment Strategies		X	
1.3 – Training and Assessment Resources		X	
1.4 – Trainer and Assessor Competency	X		
1.5 – Assessment Strategies		X	
Standard 2			
2.1 – Meeting the Needs of Clients		X	
2.2 – Continuous Improvement of Client Services	X		
2.3 – Provision of Information to Clients		X	
2.4 – Third-Party Engagement in Training and Assessment			X
2.5 – Provision of Support Services to Clients		X	
2.6 – Learner Access to Records of Participation	X		
2.7 – Complaints and Appeals Strategy		X	
Standard 3			
3.1 – Operations Management		X	
3.2 – Continuous Improvement of Operations	X		
3.3 – Third-Party Training and/ or Assessment Services			X
3.4 – Records Management		X	
Summary of Non-Compliance³			
<p>SF 1.2.1 CHC50113 Diploma of Early Childhood and Care Strategy was inaccurate and did not enable the requirements of the Training Package to be met.</p> <p>SF 1.2.2 HLTAID003 The session plan does not reflect actual practice and does not allow sufficient time for supervised learning and practice.</p> <p>SF 1.2.3 10433NAT Certificate IV in Christian Ministry and Theology The Training and Assessment Strategy confuses the terms Volume of Learning, Nominal hours and Amount of Training.</p> <p>SF 1.2.4 10433NAT Certificate IV in Christian Ministry and Theology</p>			

³ SF = Standard Finding. Finding references are aligned to the Detailed Findings section of this report.

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The Training and Assessment Strategy provides no detail about the purpose and organisation of the practical placement component.

SF 1.3.1

CHC50113 Diploma of Early Childhood and Care

Participants guides do not enable information to be unpacked.

SF 1.3.2

CHC50113 Diploma of Early Childhood and Care

The RTO has not determined the maximum capacity of work placements available for students.

SF 1.3.3

HLTAID003

Practical learner resources, current class sizes, number of trainers and delivery schedule do not enable enough learning and practice prior to assessment.

SF 1.5.1 & SF 1.5.2

CHC50113 Diploma of Early Childhood and Care

Assessment tools did not ensure that the context and conditions are met, and that it enables valid and reliable judgements to be made.

SF 1.5.3

CHC50113 Diploma of Early Childhood and Care

RPL is offered but there are no resources or outsourcing arrangement in place.

SF 1.5.4

HLTAID003

Assessment tools and process do not support assessors to make valid and reliable judgements.

SF 1.5.5

HLTAID003

Recording and reporting of assessment outcomes is not accurate.

SF 1.5.6

10433NAT Certificate IV in Christian Ministry and Theology

RPL is offered but there are no resources or outsourcing arrangement in place.

Assessment tools do not support assessors to make valid and reliable judgements.

SF 2.1.1

The LLN assessment tool used is not validated and benchmarked to the ACSF so valid judgements of individual students' LLN needs cannot be made.

SF 2.3.1

Pre-enrolment student information does not describe the RTO's training and assessment services accurately, clearly and consistently.

SF 2.5.1

The LLN assessment tool used is not validated and benchmarked to the ACSF so valid judgements of individual students' LLN needs cannot be made.

SF 2.7.1

Learners and staff are not fully informed about the RTO's complaints and appeals policy and procedures.

SF 3.1.1

The RTO's management of its operations does not ensure clients receive the services detailed in their agreement with the RTO – see 2.3.1, 2.5.1 and 2.7.1.

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SF 3.4.1

Recording and reporting of assessment outcomes is not accurate.

Strengths

In general, the RTO excels in the area of identifying student needs and supporting their cohort of comparatively high-needs students in a range of ways which enables them to complete their studies successfully.

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Audit Summary – 2016 VRQA Guidelines for VET Providers

2016 VRQA Guidelines	Compliant	Non - Compliant	Not audited
1. Governance, Financial viability and Management systems			
1.1 – Strategic Plan and Business Plan			X
1.2 – Financial Viability			X
1.3 – Management Systems			X
1.4 – Governance			X
2. Transparency and oversight of third parties			
2.1 – Third party agreement			X
2.2 – Co-operation with VRQA			X
2.3 – Notifying VRQA of Third party agreements			X
2.4 – Information - Disclosure of third party services			X
2.5 – Pre-enrolment materials - Disclosure of third party services			X
2.6 – Changes to third party services			X
2.7 – Complaints - Third party services			X
2.8 – Appeals - Third party services			X
3. Trainer and assessor qualification (including individuals working under the supervision of a trainer)			
3.1 – Vocational & Industry skill requirements	X		
3.2 – Training and Assessment (TAE) skill requirements	X		
3.3 – Assessment only skill requirements			X
3.4 – Supervision arrangement requirements			X
3.5 – Trainer under supervision skill requirements			X
4. Delivery of training and assessment services			
4.1 – Training and assessment practices		X	
4.2 – Amount of training		X	
4.3 – TAE - Independent validation of assessment system, tools, processes and outcomes			X
4.4 – TAE – Trainer and Assessor skills (1 January 2016 to 31 December 2016)			X
4.5 – TAE – Trainer and Assessor skills (1 January 2017 onwards)			X
4.6 – TAE – Trainer under supervision requirements			X
4.7 – TAE – Registration requirements			X
5. Annual Declaration of Compliance			
5.1 – Annual Declaration of Compliance			X

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Summary of Non-Compliance⁴

GF 4.1.1 & GF 4.2.1

CHC50113 Diploma of Early Childhood and Care

The strategies and amount of training do not enable the requirements of the Training Package to be met, and amount of training is not determined cognisant of the needs of the student and the mode of delivery.

GF 4.1.2 & GF 4.2.2

HLTAID003

The strategies and amount of training do not enable each student to meet the requirements of the unit or the requirements of the Training Package to be met.

GF 4.1.3 & GF 4.2.3

10433NAT Certificate IV in Christian Ministry and Theology

The TAS confuses the terms Volume of Learning, Nominal hours and Amount of Training.

Strengths

Summary of strengths to be listed here

⁴ GF = Guideline Finding. Finding references are aligned to the Detailed Findings section of this report.

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Detailed Findings - AQTF Conditions of Registration

CONDITION 1 - Governance	Not audited in Phase 2 audit
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CONDITION 2 - Interactions with the Registering Body	Not audited in Phase 2 audit
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CONDITION 3 - Compliance with Legislation	Non-Compliant
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Evidence/Documentation Reviewed	
<p>Staff Handbook 2018 Trainer and Assessor Handbook 2018 Student Handbook 2018 TAS</p>	
CF.3.1	Finding
	<p>Staff Handbook lists a range of legislation relating to WHS, equal opportunity, privacy and confidentiality and disability, but does not actually explain the RTO's related expectations of the staff member, or how the laws may affect a staff member's decisions and actions in the workplace, i.e. their obligations under the legislation.</p> <p>Trainer and Assessor Handbook 2018 – as above – some explanation, but the RTO's expectations of trainers are still not clear – needs to be more explicit and in plain English.</p> <p>Student Handbook 2018 – as above, and also:</p> <ul style="list-style-type: none"> – p.18 - student access to records information conflicts with info on p.19, p.37 – p.22 - placement information should explain what the confidentiality requirement means in practice. – Pp 25-26 – privacy principles – too much literal reproduction of legal text, needs more contextualised explanation.
	<p>Required Rectification(s)</p> <p>Review and revise the material provided to staff and students to ensure explanations of these requirements are in plain English and explain how they affect their duties or participation in the context of vocational education and training</p>

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CONDITION 4 - Insurance	Not audited in Phase 2 audit
CONDITION 5 - Financial Management	Not audited in Phase 2 audit
CONDITION 6 - Certification & Issuing of Qualifications & Statements of Attainment	Compliant
Evidence/Documentation Reviewed	
<p>AQTF Certification Policy and Procedure Copy of qualification testamur CHC50113 Statement of attainment for 9 x units from CHC50113 3 x statements of attainment for HLTAID003 Record management procedure USI issuance procedure Enrolment form including USI application privacy notice and authorisation notice</p>	
CONDITION 7 - Recognition of Qualifications Issued by other RTOs	Compliant
Evidence/Documentation Reviewed	
<p>Mutual recognition procedure</p>	

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CONDITION 8 - Accuracy and Integrity of Marketing	Compliant
Evidence/Documentation Reviewed	
<p>Website Flyer Authorisation for Release of Photograph, video or written testimonials form</p>	
Improvement Opportunities	
<p>The form for gaining student authorisation for release of photograph, video or written testimonials could be made clearer to minimise doubt that students understand what they are signing.</p>	
CONDITION 9 - Transition to Training Packages/Expiry of Accredited Courses	Compliant
Evidence/Documentation Reviewed	
<p>Training Product Transition & Expiry Policy & Procedure Website Flyer Certification for HLTAID003, CHC50113 and 10433NAT Assessment resources for HLTAID003, CHC50113 and 10433NAT</p>	

Detailed Findings - AQTF Standards

ELEMENT 1.1 - The RTO collects, analyses and acts on relevant data for continuous improvement of training and assessment.

Compliant

Evidence/Documentation Reviewed

Reporting of Learner Engagement and Employer Satisfaction Quality Indicators 2016
 Continuous Improvement Register
 Interview with the Director – she stated that they have had no formal written complaints. A small number of informal complaints where students were reluctant to put them in writing have been made during her tenure and were dealt with without any written record being made.
 Complaints and Appeals Policy and Procedure, and Form
 Management meeting minutes x 4 (Jan, Feb, March, April 2018)
 Minutes of Trainers meetings x 2 (22 March, 14 June 2018)
 Written feedback sought from CHC50113 placement partner – ‘critical friend’ review
 Student course evaluation forms, summarised in a spreadsheet giving all trainers a score
 ‘Continuous Improvement Register – Individual entries’ – anyone can fill these in and submit. Replaces Corrective Action Form mentioned in Trainer Handbook p.8 – the reference needs amendment.

Improvement Opportunities

- The Management meeting minutes list compliance and improvement related topics which were discussed but do not detail the actual discussion or outcome, so that they do not constitute a clear record of the meeting e.g. “Compliance update - policy and procedure review, marketing policy”, “Feedback from Grow ‘n’ Learn discussed”.
- Informal complaints and their responses should be recorded in writing as the Director acknowledged that this cohort of students can be reluctant to make formal complaints; if not, the knowledge is lost.
- ‘Continuous Improvement Register – Individual entries’ replaces Corrective Action Form mentioned in Trainer Handbook p.8 – the reference needs amendment.

ELEMENT 1.2 - Strategies for training and assessment meet the requirements of the relevant Training Package or accredited course and are developed in consultation with industry.	Non-Compliant
Evidence/Documentation Reviewed	
<p>CHC50113 Diploma of Early Childhood and Care</p> <ul style="list-style-type: none"> • Training and assessment strategy – CHC50113 Diploma of Early Childhood and Care (classroom based as opposed to distance) • Marketing material • Schedule • Interview with Lisa Towers and Smitha Gustav <p>HLTAID003</p> <ul style="list-style-type: none"> • Training and assessment strategy • Industry Consultation register • Learning and assessment resources for the unit – purchased from a commercial provider • 3 x completed student assessments • Assessment task model answers • Interview with Trainer (Lisa Towers) – classes range between 15-20 students. Generally, 4 adult and 4 infant manikins are used. Others are available but not regularly used because they are old and a bit worn. <p>10433NAT Certificate IV in Christian Ministry and Theology</p> <ul style="list-style-type: none"> • Training and assessment strategy • Industry Consultation register • Student Manual and Assessment tools for 2 x units CMTTHE402A Interpret theological data and CMTTHE404A Gain new personal revelation • Assessment task model answers • Assessment Plan and Mapping Tool • No completed assessments as first cohort only enrolled in April 2018 • Phone interview with Trainer (Andrew Drummond) 	

SF.1.2.1	Finding	Required Rectification(s)
	<p>CHC50113 Diploma of Early Childhood and Care Strategy:</p> <ul style="list-style-type: none"> Indicates that the mode is classroom – and does not reference that mode also includes 240 hours placement Duration is listed as 18 months for full time when this is not an accurate reflection of the hours either through classroom delivery or practical placement Course delivery environment indicates that learning occurs in institutional delivery, simulated work/industry environment, work in industry/work placement – which is in conflict with the original statement above Notes that WWC and current First Aid certificate prior to commencing placement. Which is inconsistent with the marketing material which states that cleared National police check clearance and Working with Children’s Check is required before commencing their placement Indicates that the ACSF level is 3 -4. However, marketing material on the website notes ACSF level 2. How the amount of training is determined is not explained. The amount of training includes PUSH hours, self-directed hours, research and assessment. However, the PUSH hours include formative assessment which is used as summative evidence, the research hours are related to assessment and the self-directed hours are not justified. Practical placement is 240 hours. Schedule indicates that a large number of the units are delivered within 5.5 to 6 hours. The strategy does not provide sufficient time to ensure that the training and assessment requirements of the Training Package can be met. Inaccurately identifies the assessment methods: CHCECE004 Promote and provide healthy food and drinks, CHCECE005 Provide care for babies and toddlers. formative, summative Does not ensure that the requirements of the units can be met, e.g. skills to be demonstrated in a regulated environment Does not explain how the practical placements will occur, how many visits are made, time required at the visits, and what unit is to be assessed at these visits. 	<p>CHC50113 Diploma of Early Childhood and Care Review and revise the strategy to ensure that it is an accurate reflection of training and assessment for this qualification Ensure that the strategy enables the requirements of the Training Package to be met.</p>

Interview with Lisa Towers and Smitha Gustav indicated that the class is capped at 38 students per year.		
SF.1.2.2	Finding	Required Rectification(s)
<p>HLTAID003</p> <p>Training and Assessment Strategy Session Plan does not accurately describe the breakdown of time to supervised learning, assessment tasks and self-directed activities. A large part of the 8 hours of 'supervised learning' would actually be taken up with practical assessment. The self-directed activities are actually written assessment tasks. Classroom supervised learning (stated as 8 hours, minus lunch break) is therefore not sufficient to meet learner needs for developing understanding and practice of skills prior to a significant amount of practical assessment.</p> <p>Practical learner resources (infant and adult mannekins for CPR) are not sufficient to enable enough practice and efficient assessment within the class time currently allocated.</p>		<p>Review class schedule and revise the delivery and assessment strategy so these are effective and reflect actual practice.</p> <p>Review and revise the formative learning activities and summative assessment tools, deciding which will be used for which purpose.</p> <p>Review the mapping so it shows the specific connection of each assessment task to the particular aspect of the unit.</p>
SF.1.2.3	Finding	Required Rectification(s)
<p>10433NAT Certificate IV in Christian Ministry and Theology</p> <p>Training and Assessment Strategy p. 5 - shows confusion over the terms Volume of Learning, Nominal hours and Amount of Training.</p>		Use these terms accurately in documentation.
SF.1.2.4	Finding	Required Rectification(s)
<p>10433NAT Certificate IV in Christian Ministry and Theology</p> <p>Training and Assessment Strategy p. 9 – The section on the 190-hour practical placement only states the time required. The trainer provided more information about how this is organised and supervised, and the types of activities considered suitable, and this information should be included in the Training and Assessment Strategy.</p>		Expand the information in the Training and Assessment Strategy on practical placement to give an accurate picture of how this is organised and how it works as a valuable part of the training and assessment strategy.

ELEMENT 1.3 - Staff, facilities, equipment and training and assessment materials used by the RTO are consistent with the requirements of the Training Package or accredited course and the RTO's own training and assessment strategies.		Non-Compliant
Evidence/Documentation Reviewed		
CHC50113 Diploma of Early Childhood and Care		
Evidence:		
<ul style="list-style-type: none"> • Sessions plans • Participant guides • Sample practical placement agreement • Agreement with Grow 'n' Learn <p>List of organisations used for practical placement (Sept 2015)</p>		
SF.1.3.1	Finding	Required Rectification(s)
CHC50113 Diploma of Early Childhood and Care <u>CHCECE004 Promote and provide healthy food and drinks</u> <u>CHCECE005 Provide care for babies and toddlers</u> Participant Guides are limited to information and there are no strategies to enable the information to be 'unpacked'. The activities are formative activities which are in turn used for summative assessment.		Review and revise the participant guides so that they are learning guides and enable to information to be unpacked.
SF.1.3.2	Finding	Required Rectification(s)
CHC50113 Diploma of Early Childhood and Care <u>Practical placement</u> Management of the practical placements for students was not demonstrated. Agreement was with Grow 'n' Learn, however the agreement does not outline the number of rooms available, the number of students that can be taken at any one time, nor how many students can be taken within a year.		Demonstrate that the RTO has the practical placement capacity for the number of students within the qualification.
SF.1.3.3	Finding	Required Rectification(s)
HLTAID003		Review and revise the delivery and assessment strategy so that number of practical learner resources

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Practical learner resources (infant and adult mannekins for CPR) combined with number of trainers and schedule of delivery and assessment activities are not sufficient to enable enough practice and efficient assessment with current class size and within the class time currently allocated.

and trainers are sufficient to support quality training and assessment for the number of students.

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<p>ELEMENT 1.4 - Training and assessment is delivered by trainers and assessors who:</p> <p>a) have the necessary training and assessment competencies as determined by the National Quality Council or its successors, and</p> <p>b) have the relevant vocational competencies at least to the level being delivered or assessed, and</p> <p>c) can demonstrate current industry skills directly relevant to the training/assessment being undertaken, and</p> <p>d) continue to develop their Vocational Education and Training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.</p>	<p>Compliant</p>
<p>Evidence/Documentation Reviewed</p>	
<p>Trainer files for five trainers as follows:</p> <ul style="list-style-type: none"> • Sadaf SAMSON – Cert III in Early Childhood Education & Care (CHC30113), Diploma of Early Childhood Education & Care (CHC50113) – relevant qualifications, skills matrix, WWCC, prof dept log, industry skills currency (child care work), training and assessing competence. Professional development has occurred and is planned. • Lisa TOWERS –CHC30113, CHC50113, HLTAID003 – relevant qualifications, skills matrix, WWCC, prof dept log, industry skills currency, Professional development has occurred and is planned including training and assessing competence • Roshni CHERIA – CHC30113, CHC50113 – relevant qualifications, skills matrix, WWCC, prof dept log, industry skills currency log. Professional development has occurred and is planned including training and assessing competence • Andrew DRUMMOND - Cert IV in Christian Ministry & Theology (10433NAT) - relevant qualifications, skills matrix, WWCC, prof dept log, industry skills currency log, Professional development needs to be planned, especially in relation to training and assessing competence. • Jyoti ARORA - CHC30113, CHC50113 - relevant qualifications, skills matrix, WWCC, prof dept log, industry skills currency log. Professional development has occurred and is planned 	

<p>ELEMENT 1.5 - Assessment including Recognition of Prior Learning (RPL): a) meets the requirements of the relevant Training Package or accredited course b) is conducted in accordance with the principles of assessment and the rules of evidence c) meets workplace and, where relevant, regulatory requirements d) is systematically validated.</p>	<p>Non-Compliant</p>
<p>Evidence/Documentation Reviewed</p>	
<p>Evidence: CHC50113 Diploma of Early Childhood and Care Assessment tools <ul style="list-style-type: none"> • CHCECE004 Promote and provide healthy food and drinks • CHCECE005 Provide care for babies and toddlers Practical placement booklet Course brochure (website) Validations schedule and records</p> <p>HLTAID003</p> <ul style="list-style-type: none"> • Participant Guide including assessment tasks, mapping and records (purchased commercially) • Training and Assessment Strategy • 3 x completed sets of student assessment tasks • Session plan • Interview with trainer (Lisa Towers) • Assessment Marking Guide <p>10433NAT Certificate IV in Christian Ministry and Theology</p> <ul style="list-style-type: none"> • No completed assessments yet. 	

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- Student Manuals for 2 x units CMTTHE402A Interpret theological data and CMTTHE404A Gain new personal revelation
- Assessment tasks for 2 x units CMTTHE402A Interpret theological data and CMTTHE404A Gain new personal revelation
- Assessment mapping
- Assessment Marking Guide
- Validation record

SF.1.5.1	Finding	Required Rectification(s)
	<p>CHC50113 Diploma of Early Childhood and Care <u>CHCECE004 Promote and provide healthy food and drinks</u></p> <p>The unit notes that 'Skills must be demonstrated in a regulated education and care service.' Students are to demonstrate that they have 'planned and provided food and drink for children on at least three occasions'.</p> <p>Assessment plan indicates that the assessment decision is based on formative assessment, summative assessment (questions, project, observation report) and third party; which is not consistent with the TAS.</p> <p>Assessment included:</p> <ul style="list-style-type: none"> • Formative assessment: There is insufficient guidance to assessors Expected responses in some instances are inadequate in guiding the assessor, e.g. 'answer might include...', or are exemplar answers which do not provide a benchmark for assessors on what is expected in the response. • Summative 1 & 2: There is insufficient guidance to assessors. For example, some expected responses are exemplar answers which do not provide a benchmark for assessors on what is expected in the response. For some questions there are no expected responses. • Mapping indicates that only the formative assessment, questions and projects – are undertaken and are mapped to the Performance Criteria, and knowledge. Performance Evidence is not mapped. This mapping is inaccurate. • Mapping also indicates that the decision of competent or not competent is made at the end of each activity/assessment which is inaccurate as the decision of competence is only made once. 	<p>CHC50113 Diploma of Early Childhood and Care Review and revise the assessment tool for the aforementioned unit to ensure that the context and conditions are met, and that it enables valid and reliable judgements to be made.</p>

<p>Students do not demonstrate in regulated environment. The assessment tool does not ensure that the context and conditions are not met, and enables valid and reliable judgements to be made.</p>	
<p>SF.1.5.2 Finding</p>	<p>Required Rectification(s)</p>
<p>CHC50113 Diploma of Early Childhood and Care <u>CHCECE005 Provide care for babies and toddlers</u></p> <p>The unit notes that 'Skills must be demonstrated in a regulated education and care service.' Students are to demonstrate that they have 'provided care to at least different three babies and toddlers of varying ages using safe and hygienic practices'.</p> <p>Assessment plan indicates that the assessment methods are formative activities, summative – questions, projects, observation report, third party report.</p> <p>Mapping:</p> <ul style="list-style-type: none"> • Mapping indicates that the assessment methods are: workbook activities, in class participation and discussion or equivalent, practical experience (work experience) – it is not made clear if the practical experience is observed by the assessor or the third party. • Mapping does not align the practical experience to any performance criteria or performance evidence. • Mapping indicates that all performance criteria are all assessed through only the written assessments. Performance evidence is not included in the mapping. • Mapping also indicates that the decision of competent or not competent is made at the end of each activity/assessment which is inaccurate as the decision of competence is only made once. <p>Assessment:</p> <ul style="list-style-type: none"> • Formative assessments: Some expected responses are not useful as they do not they are exemplar answers and do not provide the assessors with sufficient guidance as to what is required in the response, e.g. Activity 5, Q.1 	<p>CHC50113 Diploma of Early Childhood and Care Review and revise the assessment tool for the aforementioned unit to ensure that the context and conditions are met, and that it enables valid and reliable judgements to be made.</p>

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<ul style="list-style-type: none"> • Summative Assessment 1. Students provide extended responses. Again these are exemplar answers which do not provide the assessors with sufficient guidance as to what is required in the response. • Summative Assessment 2 – Project. Students are to pretend that they are applying for a job and they need to write a detailed application letter about how babies and toddlers can be cared for. A list of items of understanding – but no further guidance. <p><u>Practical placement diary assessment</u></p> <p>Cover sheet notes that students may be deemed competent at the end of the placement, which is inaccurate as students are only deemed competent once.</p> <p>Workplace tasks include:</p> <ul style="list-style-type: none"> • Students writing about their observations • Students to be observed changing nappies in accordance with correct procedure – no indicators • Observe a day activity • Write about interacting with family • Observe comfort items <p>Third party report and assessor observation, is merely a checklist based on ticking performance criteria. This is inadequate as an observation checklist. There is no advice or record as the demonstration of being observed with 3 babies or toddlers, nor the range required by the unit. Checklist indicates that the ‘they are ticked once’ by both third party and the assessor.</p> <p>The assessment tool does not ensure that the context and conditions are not met, and enables valid and reliable judgements to be made.</p>		
SF.1.5.3	Finding	Required Rectification(s)
<p>CHC50113 Diploma of Early Childhood and Care <u>RPL</u></p>	<p>CHC50113 Diploma of Early Childhood and Care Ensure that the potential for RPL is demonstrated, and will enable valid and reliable assessment decisions to be met.</p>	

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<p>RPL is offered. The strategy indicates that RPL requests will be outsourced, however there is no arrangement in place for this process. There are no assessment tools developed.</p> <p>Interview with trainer indicated that there have been no requests for RPL.</p>	
<p>SF.1.5.4 Finding</p>	<p>Required Rectification(s)</p>
<p>HLTAID003</p> <p><u>Recognition</u> - Not applicable.</p> <p><u>Logistics</u></p> <p>The 7.5 hours of supervised instruction includes 8 x practical assessments (CPR, handwashing, epipen, recovery position, use of spacer and puffer, compression bandage, immobilisation of broken bone, 2 scenarios). Logistically for a minimum of 15 students with one trainer, this is likely to take 3-4 hours. Under these conditions, it would be difficult for assessment to be valid and to meet the requirements of the training package.</p> <p>On the Session Plan there is <u>no allotted time for students to practise CPR before the assessment</u>, so valid and reliable assessment judgements could not be made.</p> <p><u>Evidence Summary Sheets</u> - Recording and reporting of assessment outcomes is not accurate.</p> <ul style="list-style-type: none"> - Eight practical demonstrations are grouped under the label "Project" rather than being separate assessment tasks so the trainer cannot confirm satisfactory performance in each one. - C/NYC used for some assessment tasks instead of S/NS. <p><u>Mapping</u> - the assessment tasks are not accurately mapped so the process is not valid.</p> <ul style="list-style-type: none"> - Eight different practical observation assessments are mapped as if they were one task, under the heading 'Project'. - Tasks are mapped to performance evidence and knowledge evidence, but not to elements and performance criteria. It is not clear that the assessment tasks enable the learner to demonstrate the skills and knowledge described in the unit. - Assessment tasks use activities labelled as formative for summative purposes. <p>There are <u>no observation checklists</u> for the eight practical demonstrations, so there is no guidance for the trainer on what to look for. This affects the reliability of the assessment process.</p>	<p>Review and revise the mapping documents to ensure the assessment tools and process are valid and reliable.</p> <p>Ensure the assessment process is not undertaken before sufficient learning and practice has taken place.</p> <p>Develop observation checklists for all practical demonstration assessment tasks so assessor judgements are consistent and reliable.</p>

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SF.1.5.5	Finding	Required Rectification(s)
HLTAID003	<p>One trainer (Sadaf Samson) has ticked all boxes (S, NS, NA) on two out of three students' Evidence Summary Sheets sighted</p>	<p>Ensure recording and reporting of assessment outcomes is accurate.</p>
SF.1.5.6	Finding	Required Rectification(s)
10433NAT	<p>Certificate IV in Christian Ministry and Theology</p> <p><u>RPL</u> is offered in the TAS but currently the RTO has no RPL assessment tools.</p> <p><u>Model answers</u> for long answer written questions are exemplar or ideal answers rather than identifying the key elements for a student to demonstrate competence. They do not provide clear guidelines to assessors about what should be considered a satisfactory answer. This affects validity.</p> <p><u>Assessment criteria</u> for all tasks are all the unit elements and performance criteria, they are not specific to the task. This affects the validity of the assessment tool and task in that it is difficult for the student and assessor to identify exactly what is being assessed.</p> <p><u>Assessment Marking Guide</u> – uses all a unit's performance criteria for every assessment task so decision-making rules are not clear. This affects the reliability of the assessment process.</p> <p>No <u>moderation</u> process is currently in place to improve reliability of assessor judgement.</p>	<p>Ensure that RPL is available in practice to any student who requests it.</p> <p>Review and revise model answers to ensure they model a satisfactory answer rather than an ideal one so that assessment judgements are aligned to the unit of competency and are valid.</p> <p>Identify specific assessment criteria for each separate assessment task.</p> <p>Join a moderation network or similar to increase reliability of assessor judgement.</p>

2.1 - The RTO establishes the needs of clients and delivers services to meet these needs.		Non-Compliant
Evidence/Documentation Reviewed		
<p>1 x completed LLN pre-training assessment for a student who was assessed as suitable for the course they applied for.</p> <p>1 x completed LLN pre-training assessment for a student who was assessed as not suitable for the course they applied for.</p> <p>Interview with Compliance Manager (Dinusha Galapitiya) who carries out the pre-training interviews and assessments – stated that the above applicant could not speak and understand English without assistance from her husband and took an excessive time, 1 ½ hours with assistance, to complete the LLN assessment. She was referred to an ESL course.</p> <p>1 x completed LLN pre-training assessment for a student who was assessed as needing extra support to complete their course.</p> <p>The Training Plan record shows that this student received extra support in terms of regular 1:1 sessions with the trainer and this was sufficient for her writing and reading comprehension to improve so that she passed the course. She concurrently completed an ESL course.</p> <p>Student Handbook – makes clear reference to services and support offered</p> <p>10433NAT Training and Assessment Strategy</p>		
SF.2.1.1	Finding	Required Rectification(s)
	<p>In general, the RTO excels in the area of identifying student needs and supporting their cohort of comparatively high-needs students in a range of ways which enables them to complete their studies successfully.</p> <p>However, the LLN assessment tool used is not benchmarked to the Australian Core Skills Framework and no ACSF score is given to applicants. So the basis for identifying appropriate levels of literacy or numeracy is unclear. While reference is made in some TASs to required ACSF levels, these are at times conflicting and demonstrate a lack of understanding of what the ACSF levels mean.</p>	<p>Use a validated and benchmarked LLN assessment tool in order to make valid judgements of individual students' LLN needs.</p>

2.2 - The RTO continuously improves client services by collecting, analysing and acting upon relevant data.		Compliant
Evidence/Documentation Reviewed		
<p>Reporting of Learner Engagement and Employer Satisfaction Quality Indicators 2016 Continuous Improvement Register Interview with the Director Complaints and Appeals Policy and Procedure, and Form Management meeting minutes x 4 (Jan, Feb, March, April 2018) Minutes of Trainers meetings x 2 (22 March, 14 June 2018) Written feedback sought from CHC50113 placement partner – ‘critical friend’ review Student course evaluation forms, summarised in a spreadsheet giving all trainers a score</p>		
2.3 - Before clients enrol or enter into an agreement, the RTO informs them about the training, assessment and support services to be provided, and about their rights and obligations.		Non-Compliant
Evidence/Documentation Reviewed		
<p>Student Handbook SWTS Business Process 2018 Website CHC50113 Training and Assessment Strategy 1 x student file containing Pre-training review form, enrolment form</p>		
SF.2.3.1	Finding	Required Rectification(s)
	<p>The information in the Student Handbook relating to student legal rights and obligations is not communicated clearly. Also:</p> <ul style="list-style-type: none"> – p.16 – Plagiarism –explanation not clear, procedure not explained. – p16 - RPL explanation repetitive, unclear. 	<p>Ensure all pre-enrolment student information describes the training and assessment services the RTO provides accurately, clearly and consistently.</p>

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<p>– p.17 - Credit Transfer – explanation is unclear and partially incorrect. The RPL and credit transfer explanations are similarly confusing in the TAS for 10433NAT Website information re requirements for the CHC50113 placement is different to the information in the TAS.</p>	
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<p>2.4 - Employers and other parties who contribute to each learner’s training and assessment are engaged in the development, delivery and monitoring of training and assessment.</p>	<p>Compliant</p>
<p>Evidence/Documentation Reviewed</p>	
<p>Evidence:</p> <p>CHC50113 Diploma of Early Childhood and Care</p> <ul style="list-style-type: none"> • Practical placement agreement • Agreement with Grow ‘n’ Learn • List of organisations (dated Sept 2015) • Practical placement diary. 	

2.5 - Learners receive training, assessment and support services that meet their individual needs.		Non-Compliant
Evidence/Documentation Reviewed		
<p>Interview with Training Manager (Lisa Towers) 1 x completed LLN pre-training assessment for a student who was assessed as suitable for the course they applied for.</p> <p>Interview with Compliance Manager (Dinusha Galapitiya) who carries out the pre-training interviews and assessments</p> <p>1 x completed LLN pre-training assessment for a student who was assessed as not suitable for the course they applied for.</p> <p>1 x completed LLN pre-training assessment for a student who was assessed as needing extra support to complete their course.</p> <p>Student Handbook</p> <p>10433NAT Training and Assessment Strategy</p>		
SF.2.5.1	Finding	Required Rectification(s)
	<p>In general, the RTO excels in the area of supporting their cohort of comparatively high-needs students in a range of ways which enables them to complete their studies successfully.</p> <p>However, the LLN assessment tool used is not benchmarked to the Australian Core Skills Framework and no ACSF score is given to applicants. Therefore the RTO has no valid tool for identifying student levels of literacy or numeracy.</p>	<p>Use a validated and benchmarked LLN assessment tool in order to make valid judgements of individual students' LLN needs.</p>

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2.6 - Learners have timely access to current and accurate records of their participation and progress.	Compliant
Evidence/Documentation Reviewed	
<p>Student handbook Training Plan files for 3 students including records of assistance for and progress of students who needed assistance</p>	
Improvement Opportunities	
<p>The Student Handbook contains references in three different places to how students can access their records – two mentions refer to the request form and one does not. Need to make consistent.</p>	

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2.7 - The RTO provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.		Non-Compliant
Evidence/Documentation Reviewed		
<p>Interview with the Director Complaints and Appeals Policy and Procedure Complaints Form Student Handbook 2018 Staff Handbook</p>		
SF.2.7.1	Finding	Required Rectification(s)
	<p>The Student Handbook contains no information on the National Complaints hotline. Staff Handbook contains no information on the RTO's complaints and appeals policy or procedure</p>	<p>Add advice about the National Complaints hotline into the Student Handbook. Add information about the RTO's complaints and appeals policy or procedure into the Staff Handbook</p>

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3.1 - The RTO's management of its operations ensures clients receive the services detailed in their agreement with the RTO.		Non-Compliant
Evidence/Documentation Reviewed		
Enrolment forms Training Plans Student Handbook Staff Handbook Trainer and Assessor Handbook RTO Management meeting minutes Trainer meeting minutes Feedback from placement partners SWTS SC5-VTG: Fees and Refunds Policy & Procedures V2.1 June 2018 Continuous improvement register MOU with Grow'n'Learn Child Care Centre to provide practical placement – March 2018-March 2019		
SF.3.1.1	Finding	Required Rectification(s)
	Comparatively minor non-compliances as outlined in SF 2.3, 2.5 and 2.7, related to: <ul style="list-style-type: none"> – inconsistencies and omissions in information supplied to students and staff – lack of clarity in explaining legal rights and responsibilities – using an unvalidated LLN assessment tool 	Rectify the non-compliances as outlined in SF 2.3, 2.5 and 2.7.

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3.2 - The RTO uses a systematic and continuous improvement approach to the management of operations.	Compliant
<p>Continuous Improvement policy and procedure Continuous improvement register Complaints policy and procedure Complaints register Management meeting minutes x 4 Team meeting minutes x 3 Student course evaluation forms, summarised in a spreadsheet giving all trainers a score 'Continuous Improvement Register – Individual entries' Interview with director re internal audits Interview with Training Manager Interview with Compliance Manager</p>	
3.3 - The RTO monitors training and/or assessment services provided on its behalf to ensure that it complies with all aspects of the AQTF Essential Conditions and Standards for Continuing Registration.	N/A
<p>No third party arrangements are in place.</p>	

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3.4 - The RTO manages records to ensure their accuracy and integrity.		Non-Compliant
3 x HLTAID003 assessment records 3 x Training Plans and enrolment forms 3 x Pre Training Review forms Interview with Compliance Manager		
SF.3.4.1	Finding	Required Rectification(s)
	Two out of three HLTAID003 assessment records sighted were incorrectly completed.	Review trainer practice and Develop a records management process to ensure all records are completed accurately.

Detailed Findings – 2016 VRQA Guidelines for VET Providers

GUIDELINE 1.1 - An RTO must ensure that it has a current strategic plan and a detailed business plan which have been approved by its governing body.

**Not Audited in
Phase 2 audit**

- a) An RTO ensures the strategic plan details the overall vision, mission, board of directors and strategic directions of the RTO and clearly indicates that provision of vocational education is a primary purpose of the RTO.
- b) An RTO ensures the business plan details the operational and workforce development arrangements for a three year period that incorporates:
 - i. description of the business including an organisation chart, courses, location(s) and facilities
 - ii. a continuous improvement plan or risk management strategy
 - iii. a work force development plan
 - iv. strategic alliances with other education or service providers or third party arrangements
 - v. training and assessment delivery including proposed facilities and delivery hours

GUIDELINE 1.2 - An RTO demonstrates its financial viability and its capacity to sustain quality VET into the future by ensuring it has a three year financial plan that includes:

**Not audited in
Phase 2 audit**

- a) projected student enrolments by qualifications
- b) a range of financial indicators, including
 - i. cash flow
 - ii. current ratio of total current assets versus total current liabilities (equal to or greater than 1)
 - iii. debt ratio Total Liabilities/Total Assets (equal to or less than 1)
- c) the VET provider shows that it has a financial guarantor with the capacity to service the guarantee and/or to demonstrate sufficient working capital to operate for at least 6 months without tuition fees.
- d) details about whether any person involved in the management or provision of courses by the RTO meets any of the descriptions listed in section 4.3.11(2) of the Act.

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GUIDELINE 1.3 - An RTO ensures that it has management systems that include:

- a) management information including:
 - I. details of company incorporation in Australia (alternatively evidence of being an incorporated body in receipt of government funds)
 - II. a physical address of the company in Victoria for the purposes of serving notices
 - III. details of the directors, CEO/PEO and senior management members with associated police checks and Working With Children Checks if students are under 18 years of age
 - IV. confirmation that at least one Director or CEO/PEO has his/her principal residence in Victoria
 - V. contact arrangements for the CEO/PEO including during holidays and other closure periods
 - VI. a physical addresses for the location of financial, student and staff records including archives and computer back up storage
- b) a financial management system including a system for managing student fee payments and student refunds
- c) a student records management system that includes the capacity to provide the VRQA with AVETMISS compliant data and to ensure that copies of student records are
 - I. not able to be withheld from the RTO; and
 - II. able to be provided in electronic and print versions, at no cost to the VRQA in the event that the VET provider ceases operations
- d) a staff records management system including arrangements which ensure that for each staff member involved in training and assessment, the RTO holds verified documentation indicating each staff member's qualification and skills.

**Not audited in
Phase 2 audit**

GUIDELINE 1.4 - An RTO ensures that it has appropriate governance structures that includes:

- a) transparent governance and ownership arrangements, such as a Board of Directors, governing council, executive management and academic management
- b) a governance structure that includes appropriate appointments of persons for oversight of academic/educational integrity and quality assurance, such that:
 - i. for an RTO with anticipated ongoing operation of less than 150 equivalent full time students or an annual student fee turnover of less than \$1.5m per annum, persons are appointed with suitable qualifications and experience; and
 - ii. for all other RTOs, a governance committee is established that includes individuals who are independent of the RTO's ownership and are employed with suitable qualifications and experience
- c) a CEO/PEO and members of the RTO's senior management team with appropriate qualifications and educational experience.

**Not audited in
Phase 2 audit**

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<p>GUIDELINE 2.1 - An RTO ensures that where services are provided on its behalf by a third party the provision of those services is the subject of a written agreement.</p> <ul style="list-style-type: none"> • A <i>third party</i> means any party that provides services on behalf of the RTO but does not include a party to a contract of employment with the RTO. • <i>Services</i> mean training, assessment, related educational or support services and/or any activities related to the recruitment of prospective students, but does not include student counselling, mediation or ICT support services. 	N/A
<p>N/A – no third party arrangements in place.</p>	
<p>GUIDELINE 2.2 – An RTO ensures that any third party delivering services on its behalf is required, under a written agreement, to cooperate with the VRQA:</p> <ul style="list-style-type: none"> a) by providing accurate and factual responses to information requests from the VET Regulator relevant to the delivery of services; and b) for the purposes of the conduct of any audit or monitoring of its operations. 	N/A
<p>N/A – no third party arrangements in place.</p>	
<p>GUIDELINE 2.3 – An RTO notifies the VRQA of any written agreement entered into under Guideline 2.2 for the delivery of services on its behalf:</p> <ul style="list-style-type: none"> a) within 30 calendar days of the agreement being entered into or prior to the obligations under the agreement taking effect, whichever occurs first; and b) within 30 calendar days of the agreement coming to an end. 	N/A
<p>N/A – no third party arrangements in place.</p>	

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<p>GUIDELINE 2.4 – Information, whether disseminated directly by an RTO or by another party on its behalf, is both accurate and factual, including by:</p> <ul style="list-style-type: none"> a) clarifying whether a third party is recruiting prospective students for an RTO on its behalf; and b) distinguishing where it is delivering training and assessment on behalf of another RTO or where training and assessment is being delivered on its behalf by a third party. 	N/A
<p>N/A – no third party arrangements in place.</p>	
<p>GUIDELINE 2.5 - Prior to the enrolment of students or the commencement of training and assessment, whichever comes first, an RTO provides, in print or through referral to an electronic copy, current and accurate information that:</p> <ul style="list-style-type: none"> a) enables the student to make informed decisions about undertaking training with the RTO and b) (at a minimum) includes the name and contact details of any third party that will provide training and/or assessment, and related educational and support services to the student on an RTO's behalf 	N/A
<p>N/A – no third party arrangements in place.</p>	
<p>GUIDELINE 2.6 - Where there are any changes to agreed services, an RTO advises the student of those changes as soon as practicable, including in relation to any relevant changes to existing or new third party arrangements or changes in ownership.</p>	N/A
<p>N/A – no third party arrangements in place.</p>	
<p>GUIDELINE 2.7 - An RTO has a complaints policy to manage and respond to allegations involving the conduct of:</p> <ul style="list-style-type: none"> a) the RTO, its trainers, assessors or other staff; b) a third party providing services on the RTO's behalf, its trainers, assessors or other staff; or c) a student of the RTO. 	N/A
<p>N/A – no third party arrangements in place.</p>	

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GUIDELINE 2.8 - An RTO has an appeals policy to manage a request for the review of a decision, including an assessment decision, made by an RTO or a third party providing services on the RTO's behalf.

N/A

N/A – no third party arrangements in place.

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<p>GUIDELINE 3.1 In addition to the requirements specified in Guidelines 3.2 and 3.3, an RTO's training and assessment is only delivered only by persons who have:</p> <ul style="list-style-type: none"> a) vocational competencies at least to the level being delivered and assessed; b) current industry skills directly relevant to the training and assessment being provided; and c) current knowledge and skills in vocational training and learning that informs their training and assessment. <p>Industry experts may also be involved in the assessment judgement, working alongside the trainer and/or assessor to conduct the assessment.</p>	Compliant
<p>Trainer files for five trainers as follows:</p> <ul style="list-style-type: none"> • Sadaf SAMSON – Cert III in Early Childhood Education & Care (CHC30113), Diploma of Early Childhood Education & Care (CHC50113) – relevant qualifications, skills matrix, WWCC, prof dept log, industry skills currency (child care work), training and assessing competence. Professional development has occurred and is planned. • Lisa TOWERS –CHC30113, CHC50113, HLTAID003 – relevant qualifications, skills matrix, WWCC, prof dept log, industry skills currency, Professional development has occurred and is planned including training and assessing competence • Roshni CHERIA – CHC30113, CHC50113 – relevant qualifications, skills matrix, WWCC, prof dept log, industry skills currency log. Professional development has occurred and is planned including training and assessing competence • Andrew DRUMMOND - Cert IV in Christian Ministry & Theology (10433NAT) - relevant qualifications, skills matrix, WWCC, prof dept log, industry skills currency log, Professional development needs to be planned, especially in relation to training and assessing competence. • Jyoti ARORA - CHC30113, CHC50113 - relevant qualifications, skills matrix, WWCC, prof dept log, industry skills currency log. Professional development has occurred and is planned 	

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GUIDELINE 3.2 An RTO's training and assessment is only delivered only by persons who have the qualifications specified in Item 1 or Item 2 of Schedule 1 of these Guidelines.	Compliant
<p>Trainer files for five trainers as follows:</p> <ul style="list-style-type: none"> • Sadaf SAMSON – Cert III in Early Childhood Education & Care (CHC30113), Diploma of Early Childhood Education & Care (CHC50113) – relevant qualifications, skills matrix, WWCC, prof dept log, industry skills currency (child care work), training and assessing competence. Professional development has occurred and is planned. • Lisa TOWERS –CHC30113, CHC50113, HLTAID003 – relevant qualifications, skills matrix, WWCC, prof dept log, industry skills currency, Professional development has occurred and is planned including training and assessing competence • Roshni CHERIA – CHC30113, CHC50113 – relevant qualifications, skills matrix, WWCC, prof dept log, industry skills currency log. Professional development has occurred and is planned including training and assessing competence • Andrew DRUMMOND - Cert IV in Christian Ministry & Theology (10433NAT) - relevant qualifications, skills matrix, WWCC, prof dept log, industry skills currency log, Professional development needs to be planned, especially in relation to training and assessing competence. • Jyoti ARORA - CHC30113, CHC50113 - relevant qualifications, skills matrix, WWCC, prof dept log, industry skills currency log. Professional development has occurred and is planned 	

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<p>GUIDELINE 3.3 Where a person conducts assessment only, an RTO ensures that the person has the qualification specified in Item 1 or Item 2 or Item 3 of Schedule 1 of these Guidelines.</p>	<p>N/A</p>
<p>GUIDELINE 3.4 Where the RTO, in delivering training and assessment, engages an individual who is not a qualified trainer and/or assessor, the individual works under the supervision of a qualified trainer and/or assessor and must not determine assessment outcomes.</p>	<p>N/A</p>
<p>GUIDELINE 3.5 An RTO ensures that any individual working under the supervision of a trainer:</p> <ul style="list-style-type: none"> a) holds the skill set defined in Item 4 of Schedule 1 of these Guidelines; b) has vocational competencies at least to the level being delivered and assessed; and c) has current industry skills directly relevant to the training and assessment being provided. 	<p>N/A</p>

GUIDELINE 4.1 - An RTO's training and assessment strategies and practices, including the amount of training it provides, are consistent with the requirements of the training packages and VET accredited courses and enable each student to meet the requirements for each unit of competency or module in which the student is enrolled.		Non-Compliant
<p>CHC50113 Diploma of Early Childhood and Care</p> <ul style="list-style-type: none"> • Training and assessment strategy • Session plans • Participant guides • Schedule • Assessment tools <p>HLTAID003</p> <ul style="list-style-type: none"> • Training and assessment strategy • Session Plan • Learning and assessment resources for the unit • 3 x completed student assessments • Assessment task model answers • Interview with Trainer (Lisa Towers) <p>10433NAT Certificate IV in Christian Ministry and Theology</p> <ul style="list-style-type: none"> • Training and assessment strategy • Student Manual and Assessment tools for 2 x units CMTTHE402A Interpret theological data and CMTTHE404A Gain new personal revelation • Assessment task model answers • Assessment Plan and Mapping Tool • Phone interview with Trainer (Andrew Drummond) 		
GF 4.1.1	Finding	Required Rectification(s)

<p>CHC50113 Diploma of Early Childhood and Care</p> <p>The strategy indicates that the full time program is conducted over an 18 month period, but this does not accurately reflect that actual delivery and practical placement. The amount of training includes PUSH hours, self directed hours and research. This is an estimate on a weekly basis. Over the program PUSH hours are noted as 366, self directed as 348, and research 348, plus assessment 1189 hours. Placement is noted as 240 hours. However, the research hours are related to assessment and the PUSH include formative assessment which in turn is used as summative evidence.</p> <p>The learning hours are 366 hours. The 348 hours of self-directed learning are not justified.</p> <p>The training and assessment strategies and practices, including the amount of training it provides, did not enable the requirements of the training packages and enable each student to meet the requirements for each unit of competency or module in which the student is enrolled.</p>	<p>CHC50113 Diploma of Early Childhood and Care</p> <p>Ensure that the training and assessment strategies and practices, including the amount of training it provides, enable the requirements of the training packages and enable each student to meet the requirements for each unit of competency or module in which the student is enrolled.</p>
<p>GF 4.1.2 Finding</p>	<p>Required Rectification(s)</p>
<p>HLTAID003</p> <p>The Session Plan does not accurately describe the breakdown of time to supervised learning, assessment tasks and self-directed activities. A large part of the 8 hours of 'supervised learning' would actually be taken up with practical assessment. The self-directed activities are actually written assessment tasks. Classroom supervised learning (stated as 8 hours, minus lunch break) is therefore not sufficient to meet learner needs for developing understanding and practice of skills prior to a significant amount of practical assessment.</p> <p>Practical learner resources (infant and adult mannequins for CPR) are not sufficient to enable enough practice and efficient assessment within the class time currently allocated.</p>	<p>Ensure that the delivery and assessment strategies and practices, including the amount of training, enable the requirements of the training package to be met and enable each student to meet the requirements of the unit.</p>
<p>GF 4.1.3 Finding</p>	<p>Required Rectification(s)</p>
<p>10433NAT Certificate IV in Christian Ministry and Theology</p> <p>The Training and Assessment Strategy shows confusion over the terms Volume of Learning, Nominal hours and Amount of Training.</p>	<p>Use these terms accurately in documentation.</p>

Audit Date: 25 & 26 June 2018

RTO: South West Training Services Pty Ltd

GUIDELINE 4.2 - For the purposes of Guideline 4.1, an RTO determines the amount of training it provides to each student with regard to:

Non-Compliant

- a) the existing skills, knowledge and the experience of the student;
- b) the mode of delivery; and
- c) where a full qualification is not being delivered, the number of units and/or modules being delivered as a proportion of the full qualification.

CHC50113 Diploma of Early Childhood and Care

- Training and assessment strategy
- Session plans
- Participant guides
- Schedule
- Assessment tools

HLTAID003

- Training and assessment strategy
- Session Plan
- Learning and assessment resources for the unit
- 3 x completed student assessments
- Assessment task model answers
- Interview with Trainer (Lisa Towers)

10433NAT Certificate IV in Christian Ministry and Theology

- Training and assessment strategy
- Student Manual and Assessment tools for 2 x units CMTTHE402A Interpret theological data and CMTTHE404A Gain new personal revelation
- Assessment task model answers
- Assessment Plan and Mapping Tool
- Phone interview with Trainer (Andrew Drummond)

GF 4.2.1	Finding	Required Rectification(s)
CHC50113 Diploma of Early Childhood and Care	<p>The strategy indicates that the full time program is conducted over an 18 month period, but this does not accurately reflect that actual delivery and practical placement. The amount of training includes PUSH hours, self directed hours and research. This is an estimate on a weekly basis. Over the program PUSH hours are noted as 366, self directed as 348, and research 348, plus assessment 1189 hours. Placement is noted as 240 hours. However, the research hours are related to assessment and the PUSH include formative assessment which in turn is used as summative evidence.</p> <p>The learning hours are 366 hours. The 348 hours of self-directed learning are not justified.</p> <p>The strategies indicate that the ACSF level required is 3 – 4. There is no link between the LLN test to the ACSF levels, so the RTO cannot use this information to ensure that it informs the amount of training for each student</p>	<p>CHC50113 Diploma of Early Childhood and Care</p> <p>Ensure that the amount of training is determined cognisant of the needs of the student and the mode of delivery.</p>
GF 4.2.2	Finding	Required Rectification(s)
HLTAID003	<p>The amount of training is not sufficient for a student to be trained in each skill and knowledge area, nor to have the opportunity to practise and apply these skills and knowledge requirements.</p>	<p>Ensure that the amount of training allows sufficient time to both learn and practise prior to assessment, thus enabling each student to meet the requirements of the unit.</p>
GF 4.2.3	Finding	Required Rectification(s)
10433NAT Certificate IV in Christian Ministry and Theology	<p>The Training and Assessment Strategy shows confusion over the terms Volume of Learning, Nominal hours and Amount of Training.</p>	<p>Use these terms accurately in documentation.</p>